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forms are available  
at [www.imls.gov](http://www.imls.gov)



INSTITUTE  
*of* MUSEUM  
*and* LIBRARY  
SERVICES

# 2004 NATIONAL LEADERSHIP GRANTS

*for Libraries and  
Museums*

*Application Deadline:*

For Libraries, **February 1**

For Museums, **March 1**

For Library and Museum  
Collaborations, **April 1**

# NATIONAL LEADERSHIP GRANTS

## *Grant Application and Information*

Fiscal Year 2004

### **What is IMLS?**

The Institute of Museum and Library Services (IMLS), an independent agency within the Executive Branch, was established by Act of Congress in 1996 to improve museum, library and information services. Within IMLS, the Office of Museum Services was established to encourage and assist museums in modernizing their methods and facilities so that they may be better able to conserve our cultural, historic, and scientific heritage; and to ease the financial burden borne by museums as a result of their increasing use by the public. The Office of Library Services was established to consolidate federal library programs, to stimulate excellence and promote access to resources in all types of libraries for individuals of all ages, to promote library services that provide access to information through electronic networks, to provide linkages among and between libraries and to promote targeted library services to people of diverse backgrounds and abilities.

IMLS provides support to all types of libraries through grants to States and through discretionary programs. For many museums, IMLS is the only source of federal support. The National Museum and Library Services Board, a Presidentially-appointed body confirmed by the Senate, provides policy advice to the Director of IMLS.

### **For more information call or write:**

Institute of Museum and Library Services  
1100 Pennsylvania Avenue, NW  
Washington, DC 20506  
(202) 606-8536

E-mail: [imlsinfo@imls.gov](mailto:imlsinfo@imls.gov)  
Web site: <http://www.imls.gov/>

TTY (for hearing-impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant information and guidelines booklet by contacting IMLS.

### **Burden Estimate and Request for Public Comments**

Public reporting burden for this collection of information is estimated to average forty hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0001), Washington, DC 20503.

CFDA No. 45.312



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Dear Colleague,

I am pleased to present the National Leadership Grant guidelines for FY 2004. National Leadership Grants promote the best thinking and practice in library and museum service. Since 1998, these grants have encouraged innovative approaches that foster an educated and informed citizenry and provide models that advance professional library and museum practice.

I believe that the public value of libraries and museums is to create and sustain a nation of learners, providing resources for learning throughout the lifetime. Indeed, this is the focus that drove the creation of the Institute — the simple recognition that museums and libraries share a fundamental educational mission; they exist to support learning.

National Leadership Grants address issues of national concern such as improving literacy; furthering school reform; preserving knowledge, artistic, and cultural heritage; teaching science and technology; sustaining the natural environment; enhancing global understanding; and stimulating creativity. They help libraries and museums add digital libraries, virtual exhibits, and exciting online resources to their time-honored roles as places for books and museum exhibits.

This year IMLS has created an exciting new tool to help prepare competitive National Leadership Grant proposals. The National Leadership Grant Online Project Planning Tutorial offers a step-by-step process for getting projects underway, including analyzing organizational needs, identifying target audiences, formulating goals and establishing plans for evaluation. Find the tutorial at [http://e-services.imls.gov/project\\_planning/](http://e-services.imls.gov/project_planning/).

We hope that National Leadership Grants will continue to energize the best thinking about how libraries and museums can support lifelong learning.

Sincerely,

Robert S. Martin, Ph.D.  
Director



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## **GENERAL INFORMATION**

## The Opportunity: To Provide Model Projects to Improve Library and Museum Services and Enhance Cooperation between Libraries and Museums

Libraries and museums are learning institutions that support the needs of a nation of learners. As such they help people of all ages sustain a lifelong spirit of inquiry. Museums and libraries connect individuals and communities to the rich resources and vast expertise they hold. Using these resources, learners can effectively explore the questions of deepest importance to them, understand the world around them, and participate in their communities.

Museums and libraries are public service institutions dedicated to enriching the educational, social and cultural lives of their communities. Both are trusted institutions that seek to build access to the broadest possible public. They are gathering places for families and communities as well as centers for scholarship and independent learning.

The National Leadership Grant program encourages libraries and museums to work independently and in collaboration to enhance their services and, as appropriate, to work in other dynamic partnerships to extend their impact. National Leadership Grants provide an opportunity for libraries and museums to develop innovative models for meeting the needs of learners in a variety of ways. With the ultimate goal of enhancing public services in support of learning, libraries and museums are encouraged to develop innovative projects in research, technology, preservation, professional development, and community-based partnerships.

Successful proposals will reflect an understanding of current issues and needs that relate to library or museum services or to the interaction between the two. They will demonstrate a clear sense of how projects will benefit their communities and contribute to their professions. The most competitive projects will provide creative solutions to problems of national importance and develop models for other organizations to adapt or emulate in order to extend the benefit of federal support.

An idea need not be entirely new to exhibit leadership potential and have innovative impact. The best proposals may improve on or extend previous work in an interesting and significant way. Successful proposals will explain how a proposed project builds on an existing base of knowledge, including previous projects and/or published literature, and how results will benefit the professional community as well as the public. Institutions of all sizes and types are encouraged to develop projects that meet the specific needs of their counterparts across the country.

To ensure that funding will result in demonstrable and significant benefits to the public, IMLS has established a set of priorities for funding in each category. Funding priorities are listed under each program description. All proposals will be considered on their merit; however, projects that address the stated priorities will be given preference for funding.

Neither the types of projects nor funding priorities are listed in order of importance.

## Eligibility

### GENERAL INFORMATION

Eligibility requirements differ for each National Leadership Grants program. Accordingly, applicants should refer to the separate Eligibility Criteria for National Leadership Grants for Libraries (page 1.5), for National Leadership Grants for Museums (page 1.5) and for National Leadership Grants for Library and Museum Collaborations (page 1.6).

IMLS recognizes the potential for valuable contributions to the overall goals of National Leadership Grants by public, non-profit, non-US, and for-profit entities that do not meet the eligibility requirements below. Although such entities may not serve as the official applicants, they are encouraged to participate in projects as partners. Federally-operated libraries and museums may not apply for National Leadership Grants, but may serve as non-essential partners to applicants if they do not receive IMLS grant funds as a result of the project. Contact IMLS before submitting a proposal involving a federal agency or federal collection. Other, non-federal entities may serve as partners and may receive IMLS grant funds as a result of the project. Consult with IMLS about any eligibility questions before submitting an application.

### DATA UNIVERSAL NUMBERING SYSTEM

#### BACKGROUND

In order to streamline and simplify the management of federal financial assistance, the Office of Management and Budget (OMB) has directed that all federal agencies require applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or an electronic application. To read the OMB rule, access: <http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/2003/pdf/03-16356.pdf>

The DUNS number requirement applies to all types of entities applying for federal grants or cooperative agreements under discretionary and mandatory grant programs or activities. Every application for a new award or renewal of an award submitted on or after October 1, 2003 must include a DUNS number for the applicant. Unless an exemption from OMB is granted, an application will not be considered complete until a valid DUNS number is provided by the applicant. (NOTE: State Library Administrative Agencies are not required at this time to submit DUNS numbers for entities with which they may enter into subawards.)

For purposes of this policy, the applicant is the entity that meets IMLS's eligibility criteria and has the legal authority to apply.

**WHAT YOU NEED TO DO**

Organizations should verify that they have a DUNS number or take the steps needed to obtain one as soon as possible if there is a possibility that they will be applying for federal grants or cooperative agreements on or after October 1, 2003. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting <http://www.dnb.com/us/>. Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or non-profit organization they may operate, and foreign entities are exempt from this requirement.

If your organization does not have a DUNS number, and you anticipate that your organization will apply for a grant or cooperative agreement from IMLS on or after October 1, 2003, you should take steps to obtain a DUNS number in advance of the application deadline. If your organization does not have a DUNS number, you may not be able to apply for federal grants or cooperative agreements after this time.

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**PARTNERSHIPS**

An application for a National Leadership Grant project may include one or more partners. Library and Museum Collaborations *require* a partnership between at least one eligible library applicant and at least one eligible museum applicant. Museums in the Community applications *require* a partnership between at least one eligible museum or museum organization applicant and one community organization. The lead applicant in a partnership must be eligible to apply as an individual organization and all members of a partnership should be active contributors to and beneficiaries of project activities. IMLS discourages partnership projects whose sole purpose is institutional planning.

The members of the partnership shall either designate one member of the partnership to apply for the grant or establish a separate, eligible legal entity, consisting of the partnership members, to apply for the grant. Any group application must contain a signed Partnership Statement that details the activities that each member of the partnership plans to perform and binds each member of the partnership to every statement and all assurances made by the applicant in the application. The applicant shall submit the Partnership Statement with its application. A sample Partnership Statement is on page 5.11.

If IMLS makes a grant to a partnership, the lead applicant for the partnership is the grantee and is legally responsible for the use of all grant funds and ensuring that the project is carried out by the partnership in accordance with applicable federal laws, regulations, and requirements. The lead applicant must be the fiscal agent but may subcontract with partners for other specific activities or services. Each member of the partnership is legally responsible for carrying out the activities it agrees to perform and using the funds it receives in accordance with applicable federal laws, regulations, and requirements.

A parent organization controlling multiple museums or libraries which are not autonomous but which are otherwise eligible may submit applications on behalf of one or more of the eligible institutions. Two organizations under the same administrative authority and operational control, however, may not serve as the sole partner applicants in a category that requires a partnership.

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**ELIGIBILITY  
CRITERIA  
FOR  
NATIONAL  
LEADERSHIP  
GRANTS  
FOR  
LIBRARIES**

Non-federal libraries in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau are eligible for funding.

- A special library is eligible if it is recognized as such by the state in which it is located.
- Research libraries (which make publicly available library services and materials suitable for scholarly research that are not otherwise available to the public and which are not an integral part of an institution of higher education) and archives which provide access to unique research resources, are eligible to apply.
- Institutions of higher education, including public and non-profit universities and colleges, may apply. Graduate library and information science schools may apply as part of an institution of higher education.
- A library agency that is an official agency of a state or other unit of government other than federal and charged by the law governing it with the extension and development of public library services within its jurisdiction is eligible to apply.
- Digital libraries that make library materials publicly available and provide services including selection, organization, description, reference and preservation under the supervision of at least one permanent professional staff librarian are eligible to apply.
- A library consortium is eligible if it is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers for improved services for the clientele of such library entities.
- A library association is eligible if it meets all of the following criteria: (1) is organized as a public or private non-profit organization or association that exists on a permanent basis; (2) serves libraries or library professionals at the national, regional, state or local levels; (3) engages in activities designed to advance the well being of libraries and the library profession; and (4) is located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

Eligible libraries or institutions may apply individually or in a partnership. A parent organization (e.g., a school district) may apply on behalf of eligible libraries within its jurisdiction. Museums may apply only in partnership with an eligible library applicant, with the library applicant as the lead.

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**ELIGIBILITY  
CRITERIA  
FOR  
NATIONAL  
LEADERSHIP  
GRANTS  
FOR  
MUSEUMS**

Non-federal museums and museum associations in the U.S., both large and small, are eligible for funding. Eligible museums include: aquariums, arboretums, art museums, botanical gardens, children's/youth museums, general museums (with two or more significant disciplines), history museums, historic houses/sites, natural history museums, nature centers, planetariums, science/technology centers, specialized museums (limited to a single, distinct subject) and zoological parks.

A museum is eligible if it meets all of the following criteria: (1) is organized as a public or private non-profit institution that exists on a permanent basis for essentially educational or aesthetic purposes; (2) cares for, and owns or uses tangible objects, whether animate or inanimate, and exhibits these objects on a regular basis through facilities which it owns or operates; (3) has at least one professional staff member or the full-time equivalent, whether paid or unpaid, whose primary responsibility is the acquisition, care or exhibition to the public of objects owned or used by the museum; (4) is open and providing museum services to the

general public (an institution which exhibits objects to the general public for at least 120 days a year fulfills this requirement); and (5) is located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

Museums located within multipurpose public or private non-profit organizations such as municipalities, universities, historical societies, foundations, and cultural centers may apply for National Leadership Grants for Museums. To be eligible, a museum located within a multipurpose organization must function as a discrete unit within its parent organization. In addition, the museum must meet all of the following criteria: (1) have at least one full-time professional staff member, or the equivalent, paid or unpaid, whose responsibilities are solely for the museum's services and operations; (2) have a fully segregated and itemized operating budget within that of its parent organization; and (3) be able to separately and distinctly fulfill all National Leadership Grants for Museums eligibility and application requirements.

Support, auxiliary, or parent organizations that apply on behalf of museums that they own or operate or with which they are affiliated are not eligible to apply for NLG museum funds on their own behalf.

Museum associations or organizations that serve museums or museum professionals at the national, regional, state or local level by engaging in activities designed to advance the well being of museums and the museum profession are eligible to apply. An eligible museum organization or association must be organized as a public or private non-profit organization or association that exists on a permanent basis, and be located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

Libraries may apply only in partnership with an eligible museum applicant, with the museum applicant as the lead.

Applicants must include at least one eligible library applicant (one of the entities listed under Eligible Criteria for National Leadership Grants for Libraries) and at least one eligible museum applicant (one of the entities listed under Eligible Criteria for National Leadership Grants for Museums). Either applicant may be the lead.

Two or more libraries or museums under the control of one parent multipurpose organization may apply for a partnership grant so long as each applicant library or museum has independent administrative authority and a separately developed operating budget within the larger budget of the parent organization. For example, a library and a museum both owned and operated by a city government, but having separate facilities, separate staffs and autonomous operation would be eligible to apply as a partnership. However, neither a library that had an exhibition function as part of its internal operations, or a museum with a library function would constitute a partnership.

All partners must sign Partnership Statements (they do not all need to sign the same document). Refer to Partnership Statement, page 5.11. In addition, they must comply with the Partnership requirements listed above.

## Conditions of a Grant

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### DURATION OF A GRANT

Generally, project activities supported by National Leadership Grants may be carried out for a period of up to 36 months.

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### PROJECT START DATE

Project start dates vary by category. Projects may begin no earlier than the last day of the month of the award announcement, and no later than December 31, 2004.

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### AMOUNT OF GRANT

National Leadership Grants range from \$15,000 to \$500,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than that requested.

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### COST SHARING

Applicants are generally expected to share the costs of projects. Cost sharing will be considered as an element in the review of all applications. Proposals that demonstrate strong institutional support through cost sharing are generally rated more favorably by reviewers. IMLS prefers that applicants provide at least 50 percent of the cost of any equipment to be purchased for the project. IMLS encourages applicants to contribute as cost sharing the salaries of any permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain how their regular duties will be performed during the grant period. IMLS strongly encourages applicants to seek third-party donations of cash, equipment and services. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply.

Applicants for all types of projects who request \$250,000 or less from IMLS are encouraged to provide at least one-third of the total cost of the project from non-federal sources. Applicants who request more than \$250,000 from IMLS, for all types of National Leadership Grants projects, other than research projects, *must* provide at least one-half of the total cost of the project from non-federal sources.

Because research benefits the entire museum and library and information sciences communities more than any one institution, IMLS does not require a one-to-one match for research proposals requesting over \$250,000. Applicants for research grants are, however, encouraged to provide at least one-third of the total cost of the project from non-federal sources. Research projects will remain subject to evaluation on contributions (see Evaluation Criteria, pages 3.2–3.3. Demonstration efforts remain subject to match requirements for requests over \$250,000. See discussion of research and demonstration under Program Overview of the National Leadership Grants for Libraries, page 2.4, or see Program Overview of the National Leadership Grants for Museums, page 2.6, or see Program Overview of the National Leadership Grants for Library and Museum Collaborations Program, page 2.10.

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### USE OF FUNDS

National Leadership Grants may be used for a broad range of project activities. Grant funds may not be used for construction, acquisition of collections, contributions to endowments, social activities, ceremonies, entertainment, or pre-grant costs. For library grants and for library and museum collaborations, purchase of limited amounts of library materials are allowable if the purchase is justified as part of a larger project; however, IMLS

prefers that applicants contribute such purchases as cost sharing. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing. All listed expenses must be incurred during the grant period. Government-wide cost principles apply.

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**PROJECT  
EVALUATION**

IMLS expects that most National Leadership Grant activities will have measurable results, and IMLS expects grantees to evaluate and report on these results. IMLS supports and encourages the use of an evaluation tool called Outcomes Based Evaluation (OBE) when it is appropriate for the type of project to be conducted. Additional information about Outcomes Based Evaluation is available on the IMLS Web site at [http://www.imls.gov/grants/current/crnt\\_obe.htm](http://www.imls.gov/grants/current/crnt_obe.htm) or upon request from IMLS. The IMLS online project planning tutorial for National Leadership Grants, available on the IMLS Web site at [http://e-services.imls.gov/project\\_planning](http://e-services.imls.gov/project_planning), also includes information about OBE. IMLS provides a two-day course on OBE for recipients of National Leadership Grants. Applicants are required to request travel funds to attend this training and other IMLS-designated meetings. Applicants should budget \$2,000 per year for this purpose, or \$4,000 per year for partnership projects.

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**COPYRIGHT/  
WORK  
PRODUCTS**

IMLS requires acknowledgement of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports. Generally, a Beta version of software developed on an IMLS funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects.

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**ANNOUNCEMENT  
OF AWARD**

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions according to the schedule given in the section Important Dates and Contact Information, page 6.1.

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**PAYMENT,  
ACCOUNTING,  
AND  
REPORTING  
PROCEDURES**

A federal accounting office handles the payment of National Leadership Grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

Grant recipients will be required to submit 6-month performance reports as well as annual financial status reports; they are required to submit a final performance report and a final financial report.



## Application Review and Evaluation

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant, the application will be rejected without evaluation (see Eligibility, pages 1.3-1.6). Incomplete applications are subject to rejection without evaluation. If an application is rejected, the applicant will be notified by mail.

Institutions wishing to submit multiple proposals may apply in more than one category per deadline. The same proposal may not be submitted to more than one category or program. An institution may apply as a lead applicant in one category and serve as a partner on other applications without jeopardizing its chances of funding.

All eligible and complete applications will be competitively reviewed. All eligible applications for National Leadership Grants will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities and types of organizations identified in the proposed projects. Reviewers will be drawn from professionals in the field and from the areas of expertise required. Library and museum professionals will review applications for the Library and Museum Collaborations program. The IMLS Director will make funding decisions based on the evaluations by reviewers, the stated priorities for funding and the overall goals of the National Leadership Grants program and of IMLS.

Reviewers will be instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Applicants should address all criteria in the Application Narrative, as supported by any appropriate attachments and support material.

Examples of funded projects can be found on the IMLS web site. For museum projects, go to [http://www.imls.gov/grants/museum/mus\\_nlgm.asp](http://www.imls.gov/grants/museum/mus_nlgm.asp). For library projects, go to [http://www.imls.gov/grants/library/lib\\_nlgl.asp](http://www.imls.gov/grants/library/lib_nlgl.asp).



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**PROJECT  
AND  
APPLICATION  
REQUIREMENTS**

## National Leadership Grants for Libraries Program

<b>Deadline:</b>	February 1
<b>Amount of Grant:</b>	\$15,000-\$500,000
<b>Grant Period:</b>	Up to Three Years
<b>Matching Requirement:</b>	1:1 for requests over \$250,000, except research projects (see section on Cost Sharing, page 1.7). Cost sharing of at least 1/3 encouraged for requests under \$250,000 and for research projects. Demonstration projects subject to non-research matching provisions.
<b>Eligibility:</b>	See page 1.5
<b>Program Contacts:</b>	<p>Susan Malbin (Continuing Education and Training) (202) 606-5389, <a href="mailto:smalbin@imls.gov">smalbin@imls.gov</a></p> <p>Martha Crawley (Research and Demonstration, Preservation or Digitization) (202) 606-5513, <a href="mailto:mcrawley@imls.gov">mcrawley@imls.gov</a></p>

### PROGRAM OVERVIEW

The Institute of Museum and Library Services awards National Leadership Grants for Libraries to enhance the quality of library services nationwide. National Leadership Grants are intended to produce results useful for the broader library community. Proposals will be judged on their potential for national impact – the degree to which they creatively address issues of concern to libraries across the country and provide potential solutions to common problems – as well as on the soundness of their management plans and other required proposal elements (see Evaluation Criteria, pages 3.2-3.3). National Leadership Grants are not intended to support basic operational needs, such as conversion of card catalogs to digital form or general processing of library or archival materials.

National Leadership Grants account for only a small percentage of federal support for libraries. The majority of IMLS funds for libraries is distributed to State Library Administrative Agencies (SLAA) in each state to meet state-identified needs. Some SLAAs provide competitive grants at the state level. Information about state LSTA programs may be obtained from individual state library agencies.

The most successful National Leadership Grant proposals result from careful planning, including identification of a problem, assessment of potential solutions, development of a proposed approach, gathering of key people and resources to test or demonstrate proposed solutions, and a plan to evaluate results. Partnerships among institutions to achieve a broader vision and leverage resources are encouraged in all categories in order to maximize the impact of federal funding.

**THE INSTITUTE OF MUSEUM AND LIBRARY SERVICES:  
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IMLS believes that libraries and museums share many assets that are essential to the creation of a learning society. They are stewards of our cultural heritage offering authenticity and authority; they enjoy a high degree of public confidence and are regarded as trustworthy; they are adept at offering solid learning experiences at their institutions, in communities, in schools and online. They have a diverse and broad user base and the ability to work across ages. They have a long history of expertise in assessing community interests and needs and providing services to address them.

National Leadership Grants encourage model projects that are designed **to meet learners' needs** and **use partnerships** to address issues of national interest and support learning in communities and across the nation.

Over the years National Leadership Grants have helped libraries and museums to work together and with other institutions and community organizations to tackle issues of central concern such as literacy, school reform, preserving artistic and cultural heritage, teaching science and technology, sustaining the natural environment, enhancing global understanding and stimulating creativity. They have helped libraries and museums add digital libraries, virtual exhibits and exciting online resources to their time-honored roles as places for books and museum exhibits.

Often grantees have found that the best way to address learners' needs is to partner with institutions and community organizations. The list of partners is long – from Headstart and youth groups to senior services; from computer scientists and technology experts to curriculum developers; from community and government organizations to faith-based institutions; from online resources and the daily newspaper to public broadcasting; from schools and higher education to work force development and more.

*Prospective applicants for National Leadership Grants may find the following resources helpful as they develop project ideas: IMLS publication "The 21<sup>st</sup> Century Learner" at <http://www.imls.gov/pubs/pdf/pub21cl.pdf>; lists of past recipients of National Leadership Grants - search grants lists at <http://www.imls.gov/search.asp> and profiles of successful IMLS grantees at [http://www.imls.gov/closer/cis\\_hilt.htm](http://www.imls.gov/closer/cis_hilt.htm).*

**DETERMINING THE APPROPRIATE FUNDING PROGRAM**

IMLS provides grant funding for recruitment and formal education of librarians through its Librarians for the 21st Century program (see [http://www.imls.gov/grants/library/lib\\_bdre.htm](http://www.imls.gov/grants/library/lib_bdre.htm)). All proposals relating to formal education of librarians and library faculty, and for building institutional capacity of graduate schools of library and information science, should be submitted to Librarians for the 21st Century. Innovative proposals to enhance the skills of current librarians and library staff should be submitted to the National Leadership Grant program for Continuing Education and Training.

## CATEGORIES OF FUNDING

### CONTINUING EDUCATION AND TRAINING

Supports model programs of continuing education and training in library and information science. Proposals should address retention issues as well as intended learning outcomes.

#### PRIORITIES:

- Projects that implement innovative approaches to continuing or specialized education for current librarians and library staff; or
- Projects that train librarians and library staff to enhance people's ability to find, evaluate and use information effectively; or
- Projects that improve the ability of librarians to design and conduct research; or
- Projects that improve the ability of librarians to create, manage, and preserve digital libraries; or
- Projects to prepare librarians for professional leadership.

### RESEARCH AND DEMONSTRATION

IMLS encourages strong proposals for research in library science and for demonstration projects to test potential solutions to problems. For information regarding the cost sharing requirements for research and demonstration projects, refer to the section Cost Sharing under Conditions of a Grant, page 1.7.

#### RESEARCH

For the purposes of these guidelines, the term research means both basic and applied research. Research proposals should pose a question and explain through the plan of work how the question will be investigated, how data will be gathered and analyzed, and how results will be evaluated and disseminated. Successful proposals will place the proposed work within the context of current research. Applied research may include testing in a real world environment, but it must be carried out through an investigative methodology. Results of research must be generalizable.

#### DEMONSTRATION

The term demonstration means the development and testing of either one potential solution to a problem or more than one solution, with evaluation and testing in a real world environment.

#### PRIORITIES:

- Projects that conduct research and/or demonstrations to enhance the individual's ability to make more effective use of information resources; or
- Projects that conduct research and/or demonstrations to enhance library services through the effective and efficient use of new and appropriate technologies; or
- Collaborative projects that lead to the development of new standards for library services; or
- Projects that collect data and conduct research on libraries and library services and their impacts on users; or
- Projects that conduct research on users' information needs, expectations, and results, including user studies, usability studies and outcomes; or
- Research projects that address knowledge integration, digital preservation, or the integration of physical and digital experiences. A resource that discusses these issues is the "Report of the Workshop on Opportunities for Applied Research on the Creation, Management, Preservation and Use of Digital Content" (see <http://www.imls.gov/pubs/pdf/digitalopp.pdf>).

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**PRESERVATION  
OR  
DIGITIZATION**

This category of funding supports model programs to help preserve library resources, to develop model projects and best practices for digitization, and to digitize collections of national value. Proposals that help librarians take a leadership role in developing learning communities are strongly encouraged. In particular, proposals that provide evidence of the usefulness of the materials for research, education, or learning; identify the potential audience; and include user outcomes in their evaluation plans will improve their chances of funding. Projects that enhance interoperability, integration, and seamless access to digital resources are also strongly encouraged. Leadership projects in the areas of Digitization and Preservation are encouraged to build on the successes of prior projects. See additional information for digitization projects under Guidance for Digitization Projects, page 3.4.

**PRIORITIES:**

- Projects that preserve and enhance access to valuable library resources useful to the broader community and that foster the development of learning communities; or
- Projects that address the challenges of preserving and archiving digital media; or
- Projects that demonstrate and evaluate the feasibility of collaborative approaches to managing and preserving digital resources; competitive proposals will be of state-wide, regional, thematic or national scope.

## National Leadership Grants for Museums Program

<b>Deadline</b>	March 1
<b>Amount of Grant:</b>	\$15,000-\$500,000
<b>Grant Period:</b>	Up to Three Years
<b>Matching Requirement:</b>	1:1 for requests over \$250,000, except research projects (see section on Cost Sharing, page 1.7). Cost sharing of at least 1/3 encouraged for requests under \$250,000 and for research projects.
<b>Eligibility:</b>	See page 1.5
<b>Program Contact:</b>	Dan Lukash (Museums in the Community, Museums Online) (202) 606-4644, dlukash@imls.gov  Jeannette Thomas (Professional Practices) (202) 606-8548, jkthomas@imls.gov

### PROGRAM OVERVIEW

National Leadership Grants for Museums are awarded to museums and professional museum organizations to enhance the quality of museum services nationwide across three broad areas of funding. National Leadership Grants are intended to produce useful results for the broader museum community. Funded projects must address the key concepts of leadership and national impact – that is, the degree to which they creatively address issues of national concern and provide potential solutions to problems, including models for other organizations to emulate (see Application Evaluation Criteria, pages 3.2–3.3).

The most successful National Leadership Grant proposals result from careful planning, including identification of a problem, assessment of potential solutions, development of a proposed approach, gathering of key people and resources to test or demonstrate proposed solutions, and a plan to evaluate results. Partnerships among institutions to achieve a broader vision and leverage resources are encouraged in all categories in order to maximize the impact of federal funding.

For the purposes of these guidelines, the term *research* means both basic and applied research. Research proposals should pose a question and explain through the plan of work how the question will be investigated, how data will be gathered and analyzed, and how results will be evaluated and disseminated. Successful proposals will place the proposed work within the context of current research. Applied research may include testing in a real world environment, but it must be carried out through an investigative methodology. Results of research must be generalizable. For Cost Sharing requirements for research and demonstration projects, refer to the section on Cost Sharing under Conditions of a Grant, page 1.7.



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IMLS believes that libraries and museums share many assets that are essential to the creation of a learning society. They are stewards of our cultural heritage offering authenticity and authority; they enjoy a high degree of public confidence and are regarded as trustworthy; they are adept at offering solid learning experiences at their institutions, in communities, in schools and online. They have a diverse and broad user base and the ability to work across ages. They have a long history of expertise in assessing community interests and needs and providing services to address them.

National Leadership Grants encourage model projects that are designed **to meet learners' needs** and **use partnerships** to address issues of national interest and support learning in communities and across the nation.

Over the years National Leadership Grants have helped libraries and museums to work together and with other institutions and community organizations to tackle issues of central concern such as literacy, school reform, preserving artistic and cultural heritage, teaching science and technology, sustaining the natural environment, enhancing global understanding and stimulating creativity. They have helped libraries and museums add digital libraries, virtual exhibits and exciting online resources to their time-honored roles as places for books and museum exhibits.

Often grantees have found that the best way to address learners' needs is to partner with institutions and community organizations. The list of partners is long – from Headstart and youth groups to senior services; from computer scientists and technology experts to curriculum developers; from community and government organizations to faith-based institutions; from online resources and the daily newspaper to public broadcasting; from schools and higher education to work force development and more.

*Prospective applicants for National Leadership Grants may find the following resources helpful as they develop project ideas: IMLS publication “The 21<sup>st</sup> Century Learner” at <http://www.imls.gov/pubs/pdf/pub21cl.pdf>; lists of past recipients of National Leadership Grants - search grants lists at <http://www.imls.gov/search.asp> and profiles of successful IMLS grantees at [http://www.imls.gov/closer/cls\\_hilt.htm](http://www.imls.gov/closer/cls_hilt.htm).*

## CATEGORIES OF FUNDING

### MUSEUMS ONLINE

Supports projects to expand access to museum collections or resources (including exhibits, programs and educational materials) and connect museums with audiences through technology. Model projects may address the challenges and potential applications of new technologies, expansion and/or adaptation of existing technologies, and/or demonstrate the educational impact of utilizing technology to reach audiences. Support will enable museums to share the ideas and information in thousands of museum collections with a nation of learners of all ages.

#### PRIORITIES:

- Projects to help museums take a leadership role in the education of a nation of learners; or
- Model partnerships between museums to explore the potential of multi-institutional digital collections, web sites, or other cooperative uses of technology; within a discipline or across multiple disciplines; or
- Projects that investigate, develop, or adapt innovative educational applications of technology; or
- Research projects that address knowledge integration, digital preservation, or the integration of physical and digital experiences. A resource that discusses these issues is the “Report of the Workshop on Opportunities for Applied Research on the Creation, Management, Preservation and Use of Digital Content” (see <http://www.imls.gov/pubs/pdf/digitalopp.pdf>).

### MUSEUMS IN THE COMMUNITY

Supports projects that cultivate interaction between museums and community organizations by providing the support for these relationships. Projects should strengthen museum services to youth, family, or adult audiences to promote lifelong learning and should emerge from the mission statements and long-term institutional goals of partnering institutions. A partnership is required for this category. Please see page 1.4 for details. All members of the partnership should contribute to the project activities. The benefits and contributions of each partner should be clearly described in the narrative under criteria number six, Contributions.

#### PRIORITIES:

- Projects to help museums take a leadership role in the education of a nation of learners; or
- Projects that strengthen long term relationships between museums and community organizations with an emphasis on how the project meets the documented needs of the community.

### PROFESSIONAL PRACTICES

Supports projects that improve professional practices in the museum field. This includes projects using research to improve museum operations; projects to identify or develop innovative or more effective methods of museum operations; projects to collect, assess or develop information and research that will serve the field; and projects that create opportunities to improve professional practices through training or the development of new materials. Project design could include direct dissemination of information through workshops, seminars, and courses or indirect communication through publications and web sites.

**PRIORITIES:**

- Projects to help museums take a leadership role in the education of a nation of learners; or
- Projects that address practical applications of common technologies across disciplines and institutions; or
- Projects that develop, document, and disseminate model programs that address the interests of small museums; or
- Projects that adapt new models of best practices from successful international museum practices; or
- Research and/or impact studies to investigate issues in the museum field.

## National Leadership Grants for Library and Museum Collaborations Program

<b>Deadline:</b>	April 1
<b>Amount of Grant:</b>	\$15,000-\$500,000
<b>Grant Period:</b>	Up to Three Years
<b>Matching Requirement:</b>	1:1 for requests over \$250,000, except research projects (see section on Cost Sharing, page 1.7). Cost sharing of at least 1/3 encouraged for requests under \$250,000 and for research projects.
<b>Eligibility:</b>	See page 1.6
<b>Program Contact:</b>	Susan Malbin (202) 606-5389, <a href="mailto:smalbin@imls.gov">smalbin@imls.gov</a>

### PROGRAM OVERVIEW

#### LIBRARY AND MUSEUM COLLABORATIONS

This program supports innovative projects that model how museums and libraries of all types can work together and with other organizations to expand their services to the public. IMLS encourages multi-institutional partnerships that are based on shared purposes and clientele, partnerships that will support the development of independent learners in the 21<sup>st</sup> century and build alliances within communities. This category requires collaboration between at least one eligible library applicant and at least one eligible museum applicant (see Eligibility Criteria and Partnership requirements, pages 1.3-1.6). Other partners such as schools, the media, community organizations, foundations, and corporations may also contribute to a proposal's competitiveness and to a funded project's success. All participants should be active contributors to and beneficiaries of project activities.

The most successful National Leadership Grant proposals result from careful planning, including identification of a problem, assessment of potential solutions, development of a proposed approach, gathering of key people and resources to test or demonstrate proposed solutions, and a plan to evaluate results. Partnerships among institutions to achieve a broader vision and leverage resources are encouraged in all categories in order to maximize the impact of federal funding.

For the purposes of these guidelines, the term *research* means both basic and applied research. Research proposals should pose a question and explain through the plan of work how that question will be investigated, how data will be gathered and analyzed, and how results will be evaluated and disseminated. Successful proposals will place the proposed work within the context of current research. Applied research may include testing in a real world environment, but it must be carried out through an investigative methodology. Results of research must be generalizable. For cost sharing requirements for research projects, refer to the section on Cost Sharing under Conditions of a Grant, page 1.7.

Projects whose sole purpose is institutional planning are discouraged.

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Over the years National Leadership Grants have helped libraries and museums to work together and with other institutions and community organizations to tackle issues of central concern such as literacy, school reform, preserving artistic and cultural heritage, teaching science and technology, sustaining the natural environment, enhancing global understanding and stimulating creativity. They have helped libraries and museums add digital libraries, virtual exhibits and exciting online resources to their time-honored roles as places for books and museum exhibits.

Often grantees have found that the best way to address learners' needs is to partner with institutions and community organizations. The list of partners is long – from Headstart and youth groups to senior services; from computer scientists and technology experts to curriculum developers; from community and government organizations to faith-based institutions; from online resources and the daily newspaper to public broadcasting; from schools and higher education to work force development and more.

*Prospective applicants for National Leadership Grants may find the following resources helpful as they develop project ideas: IMLS publication "The 21<sup>st</sup> Century Learner" at <http://www.imls.gov/pubs/pdf/pub21cl.pdf>; lists of past recipients of National Leadership Grants - search grants lists at <http://www.imls.gov/search.asp> and profiles of successful IMLS grantees at [http://www.imls.gov/closer/csl\\_hilt.htm](http://www.imls.gov/closer/csl_hilt.htm).*

**PRIORITIES:**

- Projects that help museums and libraries take a leadership role in building community partnerships to support the development of learning communities; or
- Projects that develop, document, evaluate and disseminate model programs of cooperation between libraries and museums; or
- Research projects that enhance interoperability, integration and seamless access to digital library and museum resources, particularly projects that are of state-wide, regional, thematic or national scope; or

- Research projects that develop innovative approaches to the use of broadband technologies for learning. Successful proposals will deliver content via the Internet-2 network and will provide other delivery options for appropriate audiences; or
- Research projects that address knowledge integration, digital preservation, or the integration of physical and digital experiences. A resource that discusses these issues is the “Report of the Workshop on Opportunities for Applied Research on the Creation, Management, Preservation and Use of Digital Content” (see <http://www.imls.gov/pubs/pdf/digitalopp.pdf>).

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## **THE APPLICATION**

## Application Evaluation Criteria

All eligible projects will be evaluated on the basis of the following criteria:

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### NATIONAL IMPACT

Degree to which the project reflects an understanding of current issues related to library, museum, or library and museum services; creatively addresses issues facing other museums or libraries of similar size or discipline and projects a vision of potential change in the field that could result from the project. Degree to which the project is likely to have a far-reaching impact through results or products that will benefit multiple institutions and constituencies. Leadership proposals may carry a risk of failure, but should demonstrate how potential benefits outweigh risks.

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### ADAPTABILITY

Evidence that the project will create, implement and document workable models that have the potential for successful, wide-scale adaptation by institutions of similar size, discipline or resources or will produce wide-reaching results. Degree to which project processes or outcomes have potential applications in other settings and are made available so that others may adapt them for their own use. For projects involving digital collections, degree to which the project demonstrates interoperability in its broadest context and potential for integration into larger scale initiatives. For research projects the proposal should present evidence that the results will be generalizable. See definition of research on pages 2.4, 2.6, and 2.10.

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### DESIGN

Evidence that the project designers have identified an audience, performed a formal or informal assessment of their needs, and have designed this project as the best solution to answer those needs. Extent to which the project proposes efficient, effective, and successful approaches to accomplish clear goals and objectives. Extent to which the project is of sufficient scope to effect systemic change within organizations and across organizations. Extent to which the proposal explains the context of the proposed project: what relevant work has been done (including citations as appropriate) and what the proposed project will contribute. Extent to which the application utilizes existing or emerging standards or best practices in the technical area to which the project relates.

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### MANAGEMENT PLAN

Evidence that the project activities will be effectively completed, that the applicant institution is capable of carrying out the project to its successful conclusion through the deployment and management of resources including money, facilities, equipment, and supplies, and that financial management will be sound.

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### BUDGET

Appropriateness and cost efficiency of budget to complete project activities. Reviewer evaluation will include Narrative, Budget Justification, and Budget Forms.

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### CONTRIBUTIONS

Demonstration of commitment to the project by contributions to cost sharing from the applicant organization, from any partners and from other public or private sources. Applicants are generally expected to share the costs of projects. See information under Cost Sharing, page 1.7.



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**PERSONNEL**

Evidence that the project personnel are qualified to accomplish project goals and activities. Extent to which personnel commit adequate time to manage and implement the project activities. Extent to which personnel demonstrate appropriate experience and expertise in the specific area the project addresses.

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**PROJECT  
EVALUATION**

Evaluation plan ties evaluation measures directly to project goals. Evidence that the assessment method will describe clear and measurable project outcomes, findings, or products (depending on project goals). Evidence that evaluation will provide reliable information on which to judge impact or base actions.

For research projects the proposal should provide evidence that care has been taken to ensure that results will be valid and reliable. See definition of research on pages 2.4, 2.6, and 2.10.

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**DISSEMINATION**

Extent to which the results, products, processes or benefits will be made transparent and accessible through effective communication channels in the museum and library fields so that the results of the project will continue beyond the term of the project period. While projects are encouraged to establish web sites to report progress and results, dissemination plans should include a variety of appropriate media and should be understandable and accessible to a broad and diverse audience.

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**SUSTAINABILITY**

Extent to which the project's benefits will continue beyond the grant period, either through ongoing institutional support of project activities or products, development of institutional expertise and capacity, or through broad access to project findings. Extent to which project will lead to systemic change within the institution as well as within the museum and/or library field.

## Guidance for Digitization Projects

### INFORMATION TO INCLUDE IN PROPOSAL

In the proposal narrative, describe the subject matter and its significance, including relationships to related collections. Explain how the material was or will be selected for digitization. Describe the additional value that digitization will bring to the materials, such as enabling innovative new uses or attracting new audiences. Describe how potential users will discover the collection. The application also includes a form, *Specifications for Projects Involving Digitization* (see p. 5.8), which must be completed and submitted with the application. Funded digitization projects are expected to report their projects to a national level registry of digital resources and/or national bibliographic utility, as appropriate. IMLS will provide information on other reporting requirements as appropriate.

### INTEROPERABILITY

Digitization projects should follow existing standards and best practices where applicable and should be interoperable with other collections.

### DIGITIZATION PLANS

Applicants for digitization projects are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application. Sample digitization plans are provided on the following web sites:

- <http://www.cdpheritage.org> – The Colorado Digitization Program.
- <http://www.nedcc.org/digital/dighome.htm> – The Northeast Document Conservation Center's *Handbook for Digital Projects: A Management Tool for Preservation and Access*.

### RESOURCES FOR DIGITIZATION PROJECTS

IMLS has published *A Framework of Guidance for Building Good Digital Collections* as a resource for applicants planning digitization projects. Available at <http://www.imls.gov/pubs/forumframework.htm>, this document contains links to many web sites with useful information for planning and implementing digitization projects. The University of Illinois at Urbana Champaign is creating a registry and metadata repository of collections digitized with IMLS funding. See the site at <http://imlsdcc.grainger.uiuc.edu>. The IMLS web site provides examples of funded digitization projects at [http://www.imls.gov/closer/cls\\_po.asp](http://www.imls.gov/closer/cls_po.asp). The list of resources below is to assist you in learning more about digitization projects and is neither exhaustive nor an endorsement of any particular resource:

- <http://memory.loc.gov/ammem/ftpfiles.html> – The Library of Congress' American Memory Project has useful technical information for digitization projects.
- <http://www.cdpheritage.org/resource/index.html> – The Colorado Digitization Program's web site has a site devoted to Digitization Resources that includes information about copyright, metadata, digitization standards and administrative concerns.
- <http://www.clir.org/diglib/publications.htm> – The Digital Library Federation has publications on a range of topics, including digital image management and preservation.
- <http://www.rlg.org/preserv/diginews/> – The Research Libraries Group's *DigiNews*, a bimonthly web-based newsletter.
- <http://www.umuc.edu/distance/odell/cip> – Center for Intellectual Property and Copyright in the Digital Environment by the Office of Distance Education and Lifelong Learning at University of Maryland University College
- <http://www.copyright.iupui.edu> – Copyright Management Center (CMC) Indiana University-Purdue University Indianapolis
- <http://www.dlib.org> – D-Lib Magazine has many articles on preservation of digital materials.
- <http://www.w3.org/WAI/> – The World Wide Web Consortium's guidance and resources on web accessibility for people with disabilities.
- [http://www.chin.gc.ca/English/Digital\\_Content/index.html](http://www.chin.gc.ca/English/Digital_Content/index.html) – The Canadian Heritage Information Network has information on creating and managing digital content.

## Completing the Application

An application requesting National Leadership Grants support should include the following materials organized in the order listed:

1. Face Sheet
2. Application Checklist
3. Abstract
4. Narrative
5. Schedule of Completion
6. Project Budget (Detailed, Summary, and Budget Justification)
7. Current, federally negotiated rate for indirect costs, if applicable
8. Specifications for Projects Involving Digitization, if applicable
9. Partnership Statement, if applicable
10. Proof of Non-profit status, if applicable
11. Applicant(s) Organizational Profile
12. Signed Assurances Form
13. Resume(s) for key project personnel
14. Attachments
15. Electronic version of items 3, 4, and 8 on a 3.5 inch disk or a CD.

Please see page 4.2 for more information.

The applicant must submit one unstapled, loose-leafed original [with original signature(s) of authorizing official(s)] plus 10 copies of the entire application (1+10=11), plus two additional copies of the Face Sheet. Do not place the original or copies in binders or notebooks.

Applicants are required to submit an electronic copy of items 3, 4, and 8 on a 3.5 inch disk or a CD, formatted as a text file (.txt) or a rich text file (.rtf). Be sure to include institution and project contact information as a file in your disk. No submitted application materials will be returned.

### ELECTRONIC FILL-IN APPLICATION FORMS

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format for download. Applicants can download the electronic version of an IMLS application form and, using freely available software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Note that the forms cannot be submitted electronically but can be completed online and then printed on the applicant's printer and shipped. **Caution:** the forms cannot be saved, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit <http://www.imls.gov/grants/appl/index.htm>. Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms.

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### FACE SHEET

The Face Sheet is provided as pages 5.3–5.4 in the Application Form section of this document. Applicants must include a Data Universal Numbering System Number (question 7). For more information on the DUNS Number, please see page 1.3. Use or replicate this form. This page is available as a fill-in form on the IMLS Web site.

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**APPLICATION  
CHECKLIST**

The Checklist is provided as page 5.2 in the Application Forms section of this document. This page is available as an electronic fill-in form on the IMLS web site (see page 3.5). Use the Checklist to help you arrange the sections of the application in the correct order.

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**ABSTRACT**

An Abstract of no more than one page, single spaced (600 word maximum) containing the following elements: 1) Project title; 2) Description of project goals and major activities; and 3) Anticipated results.

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**NARRATIVE**

A well-designed proposal narrative is thorough and succinct while addressing all the following evaluation criteria. Detailed budget discussions should be included in budget justification. Planning documents that informed the project design, such as needs assessments or digitization plans, should be attached as appendices. Applicants might wish to take the online tutorial that IMLS has developed and is available at [http://e-services.imls.gov/project\\_planning](http://e-services.imls.gov/project_planning). Use of the tutorial is not a requirement to apply for a National Leadership Grant but it may be helpful to applicants.

The application narrative must be no more than ten pages, must address the Evaluation Criteria as listed on pages 3.2-3.3 in the order presented here, with each response numbered, and must:

- conform to the space limits of 10 single-spaced, one-sided pages.
- use 8.5 by 11 inch paper.
- leave a margin of at least .5 inch on all sides.
- be printed on only one side of each page.
- have each page numbered.
- be printed in a sans serif, 12 point typeface with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable. Handwritten applications will not be accepted. The following box contains a sample of an allowable sans serif, 12 point typeface.

This is a sample of the Arial font in 12 point type. Arial is a sans serif font, which means that the letters do not have small, decorative lines that embellish the basic form of a letter. A serif font sometimes makes it difficult to differentiate between letters, making a document harder to read. Using a sans serif typeface makes documents more legible for individuals with vision problems and for the general public as well.

- be addressed in the order presented, and must be identified using headings, bold type, or a list of references to page or section numbers to guide reviewers in their evaluation.
- provide sufficient information for reviewers to evaluate all criteria as listed below.

Review the Evaluation Criteria on pages 3.2-3.3 before writing the application narrative.

**1. National Impact**

Describe how the project innovatively addresses current issues that affect the library or museum fields. Describe how the proposal will have a lasting impact on the library or museum fields, through either new models or new research, and include specific outcomes that will result from the project.

**2. Adaptability**

Describe how this project will offer a model that other institutions can develop or replicate, or how other institutions will be able to use the project results.

**3. Design**

Describe the scope of the project. Discuss overall project goals, the planning process, any needs assessments performed, and the relationship of proposed project to any similar projects completed by other institutions in the library or museum fields.

**4. Management Plan**

Describe institutional responsibilities for implementation of the project. Describe the allocation of time and financial resources to complete major project activities.

**5. Budget**

Describe the budget allocated to accomplish project activities.

**6. Contributions**

Describe institutional contributions to the project budget, both cash and in-kind contributions. If the project includes a partnership, discuss contributions to and benefits from the project for both the applicant and partner organizations. (The categories Museums in the Community and Library/Museum Collaborations require partnerships, and applicants must address this issue in this section.)

**7. Personnel**

Describe personnel who will complete project activities, and discuss their qualifications and commitment to the project activities, particularly if they have other, ongoing duties. If hiring new personnel or consultants, describe the position in detail and the qualifications of appropriate candidates.

**8. Project Evaluation**

Describe how the project's goals will be assessed. Describe the design, integration, and implementation of an assessment method that will describe clear and measurable project outcomes, findings, or products (depending on project goals). [Note: IMLS pays for recipients of National Leadership Grants to attend Outcomes Based Evaluation training in Washington, D.C. IMLS expects most grant activities to have quantifiable and measurable outcomes, and grantees will be expected to evaluate the success of the project against the established outcomes. Please see Project Evaluation, page 1.8, for additional information.]

**9. Dissemination**

Describe how the library or museum fields will be able to learn about the project. Discuss how this communication will utilize a variety of appropriate media and will reach appropriate audiences. Project web sites that report progress and results are encouraged.

**10. Sustainability**

Describe how the project activities will demonstrate lasting affect upon the library or museum fields after the project's completion through sustained project activities, services, or products, or through a one-time product that has a larger impact.

- Include detailed budget discussions in budget justification.
- Attach as appendices any planning documents that informed the project design, such as needs assessments or digitization plans

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## **SCHEDULE OF COMPLETION**

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed and how grant funds will be expended throughout the project. The Schedule of Completion must correspond to the activities described in the Narrative. It must include direct costs requested from IMLS for each activity. A Sample Schedule of Completion is provided on page 5.10. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (pages 5.3-5.4). The applicant need not follow the sample format but must provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project.

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## **BUDGET**

The proposal must include a Detailed Budget, a Summary Budget and Budget Justification that explain the elements of the Detailed Budget. The budget should include costs to be supported by IMLS funds, applicant and third party matching and cost sharing, and any costs to be supported by other federal agencies.

Only those costs attributable to achieving specific project activities should be included in the budget. Refer to requirements for Cost Sharing and Use of Funds under Conditions of a Grant (pages 1.7–1.8) in preparing the budget. These budget pages are available as electronic fill-in forms on the IMLS web site (see page 3.5) or may be recreated using the same format.

### **DETAILED BUDGET**

A Detailed Budget should include cost categories identified in the sample budget layout and should identify whether support is requested from IMLS or is contributed. A separate Detailed Budget must be submitted for each year of the project. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. For services to be outsourced, the applicant should, whenever possible, provide detailed bids and justification of how the proposed contractor was selected. The budget should clearly and specifically identify sources of contributions. For third-party contributions, applicants must indicate whether the contributions are assured or pending. Consultant fees must identify costs by hourly rates or daily fees. The project budget must include \$2,000 per year for travel to attend IMLS designated meetings. For partnership projects, include \$4,000 per year per project for this purpose.

### **INDIRECT COSTS**

Indirect costs are project costs that an institution incurs that cannot be easily assigned to an individual project. They are also called “overhead” or “administrative costs.” Examples of indirect-cost type items are charges for utilities, insurance, use of office space and equipment owned by the applicant, local telephone service, and the salaries of the management and administrative personnel of the institution.

Institutions that do not have a federally negotiated indirect cost rate and do not wish to negotiate one may charge an administrative fee to the project of up to 15 percent. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to distorting costs such as equipment purchases or subcontracts over \$5,000. (Applicants that choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.) IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This fee may also be applied to the project costs that will be supported by the applicant and may therefore be counted as part of the applicant's match.

If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. However, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be cost shared by the applicant may be included in the budget only as a part of the applicant's match. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued. Institutions must use a federally negotiated indirect cost rate appropriate to the type of project proposed. For example, a rate for research may only be used for research projects. State library agencies applying for National Leadership Grants are limited by statute to four percent for administrative costs.

An institution that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. If the award is issued before an indirect cost rate is negotiated, the amount of the award will be determined in part by the indirect cost rate that is used in the application budget, which will be considered a fixed rate for the duration of the grant unless the negotiated rate is lower. If this is the case, IMLS reserves the right to reduce the amount of the award accordingly.

## **SUMMARY BUDGET**

The Summary Budget should clearly identify the amount requested from IMLS, the amount provided by the applicant, by any partners and from any other sources for cost sharing and matching (both cash and in-kind support). This page is available as an electronic fill-in form on the IMLS web site (see page 3.5) or may be recreated using the same format.

## **BUDGET JUSTIFICATION**

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services and other expenses. The applicant should provide specifications for all hardware and software for which IMLS funding is requested.

IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

Complete and submit the form on pages 5.8–5.9.

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**SPECIFICATIONS  
FOR PROJECTS  
INVOLVING  
DIGITIZATION  
(IF APPLICABLE)**

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**PARTNERSHIP  
STATEMENT  
(IF  
APPLICABLE)**

A sample group Partnership Statement is provided on page 5.11. The Partnership Statement must confirm all conditions identified on page 1.4 of these guidelines.

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**PROOF OF  
NON-PROFIT  
STATUS (IF  
APPLICABLE)**

If your organization is a private, non-profit organization (if you answered “Private Non-Profit” or “Other” on Line 26 of the Face Sheet) you must submit a copy of the IRS letter indicating your organization’s eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended. IMLS will not accept a letter of state sales tax exemption as proof of non-profit status.

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**APPLICANT(S)  
ORGANIZATIONAL  
PROFILE**

The applicant and each official partner must provide an organizational profile of no more than one page that identifies the organization’s mission, service area and levels of service, placement within a parent organization (if applicable) and where within the organization the responsibility for the management of the proposed project activities would be assigned.

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**SIGNED  
ASSURANCES  
FORM**

Complete this section last. To be considered for a grant, the applicant’s Authorizing Official must read the assurances and sign the accompanying certification statement. The Authorizing Official may be the organization’s chief executive officer, an official of the organization or its parent or sponsoring organization authorized to make such commitments on behalf of the organization, or the government official responsible for oversight of the organization.

The application is not complete unless it has been signed by the Authorizing Official.

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**RESUMES**

Resumes or vitae of no more than two pages *each* for all key personnel (both staff and consultants) must be included.

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**ATTACHMENTS**

Applicants should include documents that specifically relate to the justification for the project. IMLS strongly encourages inclusion of needs assessments, reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature or other documents for the evaluation of the proposal. Separately bound volumes or notebooks submitted as attachments will not be forwarded to reviewers.



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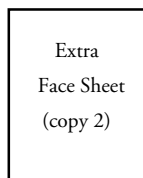
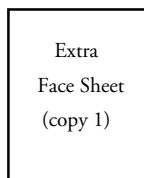
**ASSEMBLING  
AND  
SENDING  
THE  
APPLICATION**

## Assembling the Application Package

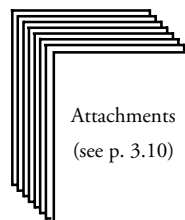
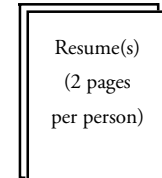
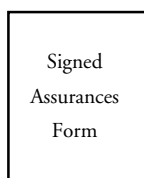
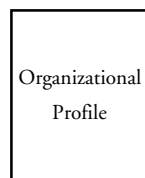
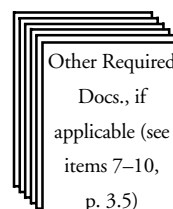
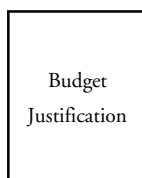
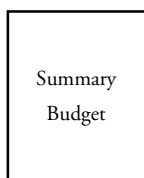
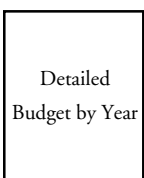
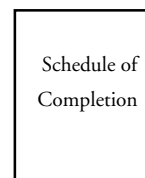
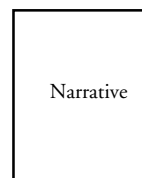
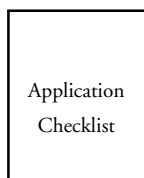
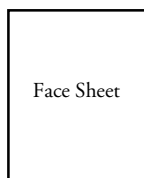
Review your application package carefully before sending it to us. You must include *all* of the required items listed below and the proper number of copies. (Each item is described in detail on pages 3.5–3.10.) *Your application is subject to rejection without review if any required item is missing.* If you have any questions, contact IMLS at (202) 606-5227 for National Leadership Grants for Libraries and for Library and Museum Collaborations or (202) 606-8539 for National Leadership Grants for Museums.

### ASSEMBLE YOUR APPLICATION PACKAGE AS FOLLOWS

#### STEP 1: MAKE TWO PHOTOCOPIES OF YOUR FACE SHEET IN ADDITION TO YOUR ORIGINAL.



#### STEP 2: COLLATE ONE ORIGINAL (COMPLETE) COPY OF YOUR APPLICATION AS FOLLOWS:



3.5 inch disk



OR

CD



**STEP 3: MAKE TEN (10) IDENTICAL SETS (EXCLUDING THE 3.5 INCH DISK OR THE CD) OF THE MATERIAL YOU ASSEMBLED IN STEP 2.**

**STEP 4: COLLATE YOUR PILES FROM STEP 1-3 AS FOLLOWS:**

Extra  
Face Sheets  
(2 Copies)

**STEP 1**

Original  
Application

**STEP 2**

Ten (10)  
copies of the  
application

**STEP 3**

**YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.**

*Note: IMLS will not do your photocopying or collating!*

## Sending the Application to IMLS

Ship or hand-deliver NLG applications to:

Postmark by

**National Leadership Grants for Libraries**

**by February 1**

Office of Library Services  
Institute of Museum and Library Services  
1100 Pennsylvania Avenue, NW, Room 802  
Washington, DC 20506

— OR —

**National Leadership Grants for Museums**

**by March 1**

Office of Museum Services  
Institute of Museum and Library Services  
1100 Pennsylvania Avenue, NW, Room 609  
Washington, DC 20506

— OR —

**National Leadership Grants for Library and Museum Collaborations by April 1**

Office of Library Services  
Institute of Museum and Library Services  
1100 Pennsylvania Avenue, NW, Room 802  
Washington, DC 20506

### SHIPPING

Shipping an application to IMLS:

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All of the first-class and Priority mail sent to IMLS through the U.S. Postal Service is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage.
- Please consider using commercial delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- In the event that a deadline falls on a day U.S. Post Offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.

### HAND DELIVERY

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday, and federal holidays. IMLS will provide a dated receipt at the time of delivery.

### IMLS ACKNOWLEDGMENT

- Within 15 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected. See Shipping, above, for information about postal delays.

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**PROOF OF  
SHIPPING**

IMLS may ask for proof of shipping if the postmark date on the package cannot be read.

- The U. S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U. S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.



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**APPLICATION  
FORMS**

## Application Checklist

Use this checklist to help you arrange the sections of the application in the correct order. This form is available as a fill-in form on the IMLS web site (see information on electronic forms, page 3.5).

- ☐ Face Sheet
- ☐ Application Checklist
- ☐ Abstract
- ☐ Narrative
- ☐ Schedule of Completion
- ☐ Project Budget
  - ☐ Detailed Budget
  - ☐ Summary Budget
  - ☐ Budget Justification
- ☐ Current, Federally Negotiated Rate for Indirect Costs, if applicable
- ☐ Specifications for Projects Involving Digitization, if applicable
- ☐ Partnership Statement, if applicable
- ☐ Proof of Non-Profit Status, if applicable
- ☐ Applicant(s) Organizational Profile
- ☐ Assurances/Certification of Authorizing Official
- ☐ Resumes of Key Personnel (no longer than two pages per person)
- ☐ Attachments, as appropriate
  - ☐ Report from Planning Activities (e.g., Needs Assessments, Digitization Plans)
  - ☐ Products or Evaluations from Previously Completed or Ongoing Projects of a Similar Nature
  - ☐ Other \_\_\_\_\_
- ☐ Applicants are required to submit an electronic copy of the abstract, narrative, and Specifications for Items Involving Digitization, if applicable, on a 3.5 inch disk or a CD, formatted as a text file (.txt) or a rich text file (.rtf). Be sure to include institution and project contact information as a file in your disk.



## Face Sheet

OMB No. 3137-0035  
CFDA No. 45.312

1. Applicant Organization \_\_\_\_\_

2. Institutional Mailing Address \_\_\_\_\_

3. City \_\_\_\_\_

4. State \_\_\_\_\_

5. Zip Code \_\_\_\_\_

6. Web Address \_\_\_\_\_

7. DUNS Number \_\_\_\_\_

8. Name of Project Director/Principal Investigator ☐ Mr. ☐ Ms. ☐ Dr. \_\_\_\_\_

9. Business Phone of Project Director \_\_\_\_\_

10. Project Director Mailing Address \_\_\_\_\_

11. City \_\_\_\_\_

12. State \_\_\_\_\_

13. Zip Code \_\_\_\_\_

14. Fax Number of Project Director \_\_\_\_\_

15. E-mail Address of Project Director \_\_\_\_\_

16. Name and Title of Authorizing Official \_\_\_\_\_

17. Business Phone of Authorizing Official \_\_\_\_\_

18. Sponsoring institution if applicable (e.g., municipality, state, or university)

☐ check if this entity will manage funds if an award is made. Name and address: \_\_\_\_\_19. Is the applicant organization university controlled? ☐ yes ☐ no

20. For museum applicants, non-federal operating budget for the most recently completed fiscal year \$ \_\_\_\_\_

21. Project Title \_\_\_\_\_

22. AMOUNT REQUESTED \$ \_\_\_\_\_

23. Amount of Matching Funds \$ \_\_\_\_\_

24. Grant Period (Starting Date) \_\_\_\_ / \_\_\_\_ / \_\_\_\_ — \_\_\_\_ / \_\_\_\_ / \_\_\_\_ (Ending Date)

25. In the space below, include names of any organizations that are official partners of the project.

26. Check governing control of applicant (select one) ☐ State ☐ County ☐ Private Non-Profit  
☐ Municipal ☐ Tribal Government ☐ Other, please specify \_\_\_\_\_

27. Check Type of Organization (select one)

- |   |  |
|---|--|
| <input type="checkbox"/> Academic Library   | <input type="checkbox"/> Arboretum                 |
| <input type="checkbox"/> Institution of Higher Education  | <input type="checkbox"/> Aquarium                  |
| <input type="checkbox"/> Library association  | <input type="checkbox"/> Art museum                |
| <input type="checkbox"/> Museum library   | <input type="checkbox"/> Botanic garden            |
| <input type="checkbox"/> Public library   | <input type="checkbox"/> Children's/youth museum   |
| <input type="checkbox"/> Research library/archives  | <input type="checkbox"/> General museum*           |
| <input type="checkbox"/> School library or school district applying<br>on behalf of a school library or libraries | <input type="checkbox"/> Historic house/site       |
| <input type="checkbox"/> Special library  | <input type="checkbox"/> History museum            |
| <input type="checkbox"/> State library agency   | <input type="checkbox"/> Natural history museum    |
| <input type="checkbox"/> State museum agency  | <input type="checkbox"/> Nature center             |
| <input type="checkbox"/> Other, please specify _____  | <input type="checkbox"/> Museum organization       |
|   | <input type="checkbox"/> Planetarium               |
|   | <input type="checkbox"/> Science/technology museum |
|   | <input type="checkbox"/> Specialized**             |
|   | <input type="checkbox"/> Zoo                       |

28. Employer identification number/tax ID number \_\_\_\_\_

29 Check Type of Project (select one)

**For Libraries:**

- ☐ Continuing Education and Training  
☐ Research and Demonstration  
☐ Preservation or Digitization

**For Museums:**

- ☐ Museums Online  
☐ Museums in the Community  
☐ Professional Practices

**For Library and Museum Collaborations:**

- ☐ Library and Museum Collaborations

\*A museum with collections representing two or more disciplines equally (e.g., art and history).

\*\* A museum with collections limited to one narrowly defined discipline (e.g., textiles, stamps, maritime, ethnic group).

# Project Budget Form

## SECTION 1: DETAILED BUDGET

Year ☐1 ☐2 ☐3 - Budget Period from \_\_\_\_\_ to \_\_\_\_\_

Name of Applicant Organization \_\_\_\_\_

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.8–3.10 BEFORE PROCEEDING.

### SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	NO.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
<b>TOTAL SALARIES AND WAGES \$</b>			_____	_____	_____	_____

### SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	NO.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
_____	( )	_____	_____	_____	_____	_____
<b>TOTAL SALARIES AND WAGES \$</b>			_____	_____	_____	_____

### FRINGE BENEFITS

RATE		SALARY BASE	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
<b>TOTAL FRINGE BENEFITS \$</b>			_____	_____	_____	_____

### CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HOURS) ON PROJECT	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
<b>TOTAL CONSULTANT FEES \$</b>			_____	_____	_____	_____

### TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	( ) ( )	_____	_____	_____	_____	_____	_____
_____	( ) ( )	_____	_____	_____	_____	_____	_____
_____	( ) ( )	_____	_____	_____	_____	_____	_____
_____	( ) ( )	_____	_____	_____	_____	_____	_____
<b>TOTAL TRAVEL COSTS \$</b>				_____	_____	_____	_____

# Project Budget Form

## SECTION 1: DETAILED BUDGET CONTINUED

Year ☐1 ☐2 ☐3

### MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
<b>TOTAL COST OF MATERIALS, SUPPLIES, &amp; EQUIPMENT \$</b>		_____	_____	_____	_____

### SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
<b>TOTAL SERVICES COSTS \$</b>		_____	_____	_____	_____

### OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
<b>TOTAL OTHER COSTS \$</b>		_____	_____	_____	_____

<b>TOTAL DIRECT PROJECT COSTS \$</b>	_____	_____	_____	_____
--------------------------------------	-------	-------	-------	-------

### INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, pages 3.8–3.9.)

Applicant organization is using:

- ☐ A. an indirect cost rate that does not exceed 15% of modified direct costs.  
☐ B. federally negotiated indirect cost rate (see pages 3.8–3.9).

\_\_\_\_\_  
Name of Federal Agency

\_\_\_\_\_  
Expiration Date of Agreement

C.	Rate base(s)	Modified Direct Costs		
_____	% of \$ _____		=	\$ _____
_____	% of \$ _____		=	\$ _____
_____	% of \$ _____		=	\$ _____

	IMLS	APPLICANT	PARTNER(S) IF APPLICABLE	TOTAL
<b>TOTAL INDIRECT COSTS CHARGED TO \$</b>	_____	_____	_____	_____

# Project Budget Form

## SECTION 2: SUMMARY BUDGET

Name of Applicant Organization \_\_\_\_\_

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.8–3.10 BEFORE PROCEEDING.

### DIRECT COSTS

	IMLS	Applicant	Partner(s) (if applicable)	Total
SALARIES & WAGES	_____	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____	_____
CONSULTANT FEES	_____	_____	_____	_____
TRAVEL	_____	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____	_____
SERVICES	_____	_____	_____	_____
OTHER	_____	_____	_____	_____
<b>TOTAL DIRECT COSTS</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>
<b>INDIRECT COSTS *</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>	<b>\$ _____</b>

\*You may request indirect costs from IMLS only on the direct project costs requested from IMLS.

**TOTAL PROJECT COSTS** \$ \_\_\_\_\_

**AMOUNT OF CASH-MATCH** \$ \_\_\_\_\_ \$ \_\_\_\_\_

**AMOUNT OF IN-KIND CONTRIBUTIONS** \$ \_\_\_\_\_ \$ \_\_\_\_\_  
(INSTITUTIONAL COST-SHARING), INCLUDING INDIRECT COSTS

**TOTAL AMOUNT OF MATCH (CASH & IN-KIND CONTRIBUTIONS)** \$ \_\_\_\_\_

**AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS** \$ \_\_\_\_\_

**PERCENTAGE OF TOTAL PROJECT COSTS REQUESTED FROM IMLS** \_\_\_\_\_ %  
(MAY NOT EXCEED 50% IF REQUEST EXCEEDS \$250,000 – RESEARCH PROJECTS EXCEPTED, SEE COST SHARING ON PAGE 1.7)

Have you received or requested funds for any of these project activities from another federal agency?  
(Please check one) ☐ Yes ☐ No

If yes, name of agency \_\_\_\_\_

Date of application \_\_\_\_\_ or award \_\_\_\_\_ Amount requested or received \$ \_\_\_\_\_

## Specifications for Projects Involving Digitization

1. Describe types of materials to be digitized (i.e., artifacts, maps, manuscripts, photographs, audio recordings, video recordings, motion pictures) and number of each:

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2. Identify copyright issues and other potential restrictions:

☐ Public Domain \_\_\_\_% of total                      ☐ Permissions have been obtained \_\_\_\_% of total

☐ Permissions to be requested \_\_\_\_% of total – Plan to address: \_\_\_\_\_

☐ Privacy Concerns \_\_\_\_% of total – Plan to address: \_\_\_\_\_

☐ Other - Explain: \_\_\_\_\_

3. List the equipment, with specifications, whether purchased, leased, or outsourced, that will be used (e.g., camera, scanner, server): \_\_\_\_\_

---

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4. Specify each type of file format (e.g., TIFF, JPEG) to be produced and anticipated image quality of each (minimum resolution, depth, tone, pixels) :

☐ Master \_\_\_\_\_

☐ Access \_\_\_\_\_

☐ Thumbnail \_\_\_\_\_

☐ Formats for other media (e.g., audio, video, motion picture), include sampling rates, if applicable \_\_\_\_\_

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5. Describe 1) the delivery medium that will be used and 2) the digital access management system or systems that will be used to make this material available to others. \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
6. Describe the quality control plan: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
7. Estimate cost per image. Include costs such as scanning, quality control and indexing. Indicate the basis for calculation: \_\_\_\_\_  
\_\_\_\_\_
8. Explain how content will be discovered through metadata, including which standards you will use (e.g., MARC, EAD, Dublin Core): \_\_\_\_\_  
\_\_\_\_\_
9. Describe plans for preservation and maintenance of the digital files during and after the expiration of the grant period (i.e., storage systems, migration plans, and funding): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
10. If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility, such as Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
11. Describe plans for submitting information about the project to a national level registry of digital resources, such as the Association of Research Libraries' Digital Initiatives Database (<http://www.arl.org/did/>) or OCLC's Cooperative Online Resource Catalog (<http://www.oclc.org/corc>): \_\_\_\_\_  
\_\_\_\_\_
12. Provide URL(s) for applicant's previously-digitized collections: \_\_\_\_\_  
\_\_\_\_\_

## Sample Schedule of Completion

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed and how grant funds will be expended throughout the project. The Schedule of Completion must correspond to the activities described in the Narrative. It must include direct costs requested from IMLS for each activity. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (pages 5.3-5.4). The applicant need not follow this sample format but must provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project.

	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.
Data Requirements			\$11,500									
Design and Pre-test							\$65,000					
Conduct Survey							\$5,000					
Data Analysis												\$23,000
Web Site									\$19,000			
Teleconference										\$1,000		
Training Institute												\$15,000
Evaluation												\$1,500
Conferences											\$7,000	
Training Institute											\$15,000	
Final Report Dissemination												\$25,000

Direct costs requested from IMLS \$188,000



## Sample Partnership Statement

This page is a sample format for a partnership application. Prepare yours in a similar manner. You may complete separate statements with each partner or add additional signature lines for multiple partners. Information about partnership applications is on page 1.4. All partners must sign Partnership Statements. They do not need to all sign the same document.

1. Applicant Organization:

Other partner members (organizations):

2. Briefly list the activities that each organization has agreed to perform:

3. We, the undersigned institutions, agree to all of the following:

- We will carry out the activities described above and in the Application Narrative;
- We will use any funds we receive from IMLS in accordance with applicable federal laws and regulations; and
- We assure that our facilities and programs comply with applicable federal requirements.

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Signature of Authorizing Official

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Partner Organization (Type or Print)

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Name of Authorizing Official (Type or Print)

---

Date

---

Signature of Authorizing Official

---

Partner Organization (Type or Print)

---

Name of Authorizing Official (Type or Print)

---

Date

---

Signature of Authorizing Official

---

Partner Organization (Type or Print)

---

Name of Authorizing Official (Type or Print)

---

Date

## IMLS Assurances

*The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. Review the Statement and sign the certification form. If you receive a grant, you must comply with these requirements.*

### CERTIFICATION OF AUTHORIZING OFFICIAL

*(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)*

I have examined this application, and I hereby certify on behalf of the applicant organization that

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2004 IMLS application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, nondiscrimination, drug-free workplace, and lobbying activities as set forth in the Assurances statement below.

Should my organization receive a grant, the organization and I will comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45 CFR Part 1180 et seq.), all statutes outlined below, and all other applicable federal statutes and regulations.

\_\_\_\_\_  
Signature of Authorizing Official

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title of Authorizing Official (printed or typed)

*IMLS Regulations are available upon request.*

### ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

**FINANCIAL,  
ADMINISTRATIVE,  
AND LEGAL  
ACCOUNTABILITY****I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS**

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**FEDERAL  
DEBT STATUS**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

**DEBARMENT  
AND  
SUSPENSION**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-  
DISCRIMINATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;

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**DRUG-FREE  
WORKPLACE  
ACT OF  
1988**

- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
  - (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.
- (A) The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
  - (b) establishing an ongoing drug-free awareness program to inform employees about:
    - (1) the dangers of drug abuse in the workplace;
    - (2) the grantee's policy of maintaining a drug-free workplace;
    - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
  - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
  - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
    - (1) abide by the terms of the statement; and
    - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
  - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
  - (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
    - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
    - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
  - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**CERTIFICATION  
REGARDING  
LOBBYING  
ACTIVITIES  
(APPLIES  
TO  
APPLICANTS  
REQUESTING  
FUNDS IN  
EXCESS OF  
\$100,000)**

- The authorizing official certifies, to the best of his or her knowledge and belief that:
- (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
  - (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
  - (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL  
CERTIFICATION**

The authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program.

**II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS**

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

**SUBAGREEMENTS**

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:
  - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
  - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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**NATIVE  
AMERICAN  
HUMAN  
REMAINS  
AND  
ASSOCIATED  
FUNERARY  
OBJECTS**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

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**HISTORIC  
PROPERTIES**

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

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**ENVIRONMENTAL  
PROTECTIONS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514;
- (b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- (c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- (d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended.
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.); and
- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

The authorizing official, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

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**RESEARCH  
ON HUMAN  
AND  
ANIMAL  
SUBJECTS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

*For further information on these certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506 or call (202) 606-8536.*





## Important Dates and Contact Information for National Leadership Grants

	Application Deadline	Award Announcement	Program Officer	Phone	Email
<b>For Libraries</b>					
Continuing Education and Training	February 1	Mid-July	Susan Malbin	(202) 606-5389	smalbin@imls.gov
Research and Demonstration	February 1	Mid-September	Martha Crawley	(202) 606-5513	mcrawley@imls.gov
Preservation or Digitization	February 1	Mid-September	Martha Crawley	(202) 606-5513	mcrawley@imls.gov
<b>For Museums</b>					
Museums Online	March 1	Mid-September	Dan Lukash	(202) 606-4644	dlukash@imls.gov
Museums in the Community	March 1	Mid-July	Dan Lukash	(202) 606-4644	dlukash@imls.gov
Professional Practices	March 1	Mid-September	Jeannette Thomas	(202) 606-8548	jkthomas@imls.gov
<b>For Libraries and Museums</b>					
Library and Museum Collaboration	April 1	Mid-September	Susan Malbin	(202) 606-5389	smalbin@imls.gov

**Equal Opportunity Statement**

IMLS programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.



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*and* LIBRARY  
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